

FSA Modernization Program
United States Department of Education
Federal Student Aid



R 2.0 Submission Routing Design

Task Order #116

Version 1.1

03/10/2004

Revision History

Date	Version	Description	Author
2/25/2004	1.0	Initial design for R2.0	Ben Lopez
03/10/2004	1.1	Revised to reflect design meeting changes	Ben Lopez

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As-Is Submission Routing Process

Flags

- Financial Statements will be flagged if they have been marked as containing the following when they are submitted:
 - Composite Score of zone
 - Composite Score of failed
 - Other than unqualified opinion
 - Violation of Debt Agreement disclosure in notes
 - Change in Auditor
 - Going concern disclosure in notes
 - Prior year submission missing (past performance)
 - Letter of Credit
 - Contingent Liabilities disclosure in notes
 - Income Recognition disclosure in notes
 - Late Refunds disclosure in notes
 - ED Compliance Issue disclosure in notes
 - 90/10 Revenue Attestation percentage >90%
 - Reinstatement submission
 - Initial Application submission
 - Additional Locations submission
 - Recertification submission
 - Change in Ownership/Merger submission
 - Material weakness(es)/condition(s) were identified with internal control over financial reporting
 - Reviews/Investigations acknowledged
 - Debt Agreement Violation
 - Non-compliance material noted
 - Timely return to Title IV Programs
 - Resubmission
- Compliance Audits will be flagged if they have been marked as containing the following when they are submitted:
 - Pell adjustment present
 - Prior year submissions missing (past performance)
 - Closeout Audit submission
 - Material weakness(es)/condition(s) were identified with internal control over Major Programs
 - Resubmission

Routing

- Compliance Audits with current year findings will be routed to have their findings coded

- Compliance Audits flagged with no current year findings will be routed to the appropriate Co-Team Leader for assignment
- Compliance Audits with no current year findings and no flags will be routed to archives
- Financial Statements with flags will be routed to the appropriate Co-Team Leader for assignment
- Financial Statements with no flags will be routed to archives

To-Be Submission Routing Process

Flags

- Resubmission will no longer be a reason for flagging for both Financial Statements and Compliance Audits
- Change in Auditor flag will now represent when an Institution changes their audited in two consecutive years

Routing

- Routing processes will remain the same